

**ATTORNEY DOCKET NO: MLY-2-DIV-CIP**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of Ip, et al.	) Examiner: A. Harris
	)
Patent No: 7,276,595 B2	) Art Unit: 1643
	)
Issue Date: October 2, 2007	)
	)
Serial No: 10/726,160	) Confirmation No: 5458
	)
For: DNA Sequence Encoding a Retinoic	) Deposit Account No: 04-1403
Acid Regulated Protein	)
	) Customer No: 22827

**CERTIFICATE OF CORRECTION**

Dear Sir:


Enclosed herewith is a Request for Certificate of Correction for the above-referenced patent. Enclosed is a copy of the recordation and assignment indicating the correct company name of the Assignee as The Hong Kong University of Science and Technology.

Please charge any additional fees required by this request to Deposit Account No. 04-1403.

Respectfully submitted,

DORITY & MANNING, P.A.

May 15, 2008  
Date

  
Christina L. Mangelsen, Patent Agent  
Reg. No. 50,244  
P.O. Box 1449  
Greenville, SC 29602  
(864) 271-1592  
(864) 233-7342 - Fax

I hereby certify that this paper and all attachments and any fee are being transmitted via the internet to the U.S. Patent and Trademark Office via the Electronic Filing System.

May 16, 2008  
Date of Deposit

Pamela L. Martin

Typed or printed name of person transmitting paper or fee



Signature of person transmitting paper or fee

## UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

Page 1 of 1

PATENT NO. : 7,276,595 B2

APPLICATION NO.: 10/726,160

ISSUE DATE : October 2, 2007

INVENTOR(S) : Nancy Y. Ip, William M. W. Cheung

It is certified that an error appears or errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

Assignee reads "Hong Kong University of Science and Technology" should read --The Hong Kong University of Science and Technology --

MAILING ADDRESS OF SENDER (Please do not use customer number below):

DORITY & MANNING, P.A.  
P.O. Box 1449  
Greenville, SC 29602

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*



RECEIVED

APR 13 2005

UNITED STATES PATENT AND TRADEMARK OFFICE

TEA

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

DORITY AND MANNING

APRIL 07, 2005

PTAS



\*102857739A\*

DORITY & MANNING, P.A.  
55 BEATTIE PLACE, SUITE 1600  
GREENVILLE, SC 1600

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/06/2004

REEL/FRAME: 015871/0748  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

IP, NANCY Y.

DOC DATE: 09/24/2004

ASSIGNOR:

CHEUNG, WILLIAM M. W.

DOC DATE: 09/24/2004

ASSIGNEE:

HONG KONG UNIVERSITY OF SCIENCE  
AND TECHNOLOGY, THE  
TECHNOLOGY TRANSFER CENTRE  
CLEAR WATERY BAY, KOWLOON, HONG  
KONG

SERIAL NUMBER: 10726160

FILING DATE: 12/02/2003

PATENT NUMBER:

ISSUE DATE:

TITLE: DNA SEQUENCE ENCODING A RETINOIC ACID REGULATED PROTEIN

015871/0748 PAGE 2

SERIAL NUMBER: 10409511

FILING DATE: 04/08/2003

PATENT NUMBER:

ISSUE DATE:

TITLE: DNA SEQUENCE ENCODING A RETINOIC ACID REGULATED PROTEIN

SHAREILL COLES, EXAMINER

ASSIGNMENT DIVISION

OFFICE OF PUBLIC RECORDS



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE



\*102857739B\*

AUTHORIZATION TO CHARGE ADDITIONAL FEES TO DEPOSIT ACCOUNT

APRIL 07, 2005

TO: OFFICE OF FINANCE  
FROM: ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS  
SUBJECT: DEPOSIT ACCOUNT CHARGE(S)

CHARGE THE DEPOSIT ACCOUNT LISTED BELOW ADDITIONAL FEE(S) AS INDICATED BELOW. AUTHORIZATION TO CHARGE ADDITIONAL FEES HAS BEEN PROVIDED PER THE ATTACHED COVER SHEET, OR BY DIRECT CONTACT WITH THE CUSTOMER.

DEPOSIT ACCOUNT NUMBER: 041403  
PROPERTY NUMBER: 10726160

RECORDING FEES:

FEE CODE: 8021 AMOUNT: 40

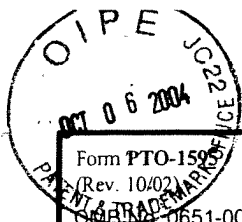
IF YOU HAVE ANY QUESTIONS REGARDING THIS NOTICE, YOU MAY CONTACT THE INDIVIDUAL WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.

SHAREILL COLES, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

TRADEMARK SERVICE FEES:	FEE CODE:
RECORDING FIRST MARK	8521
RECORDATION SECOND AND SUBSEQUENT MARK IN SAME DOCUMENT	8522
LABOR CHARGES FOR SERVICES PER HOURS OR FRACTION THEREOF	8523
UNSPECIFIED OTHER SERVICES	8524

PATENT SERVICE FEES:

RECORDING EACH PATENT ASSIGNMENT,	8021
AGREEMENT, OTHER PAPER, PER PROPERTY	
LABOR CHARGES FOR SERVICES PER HOUR	8023
(\$30) OR FRACTION THEREOF	
UNSPECIFIED OTHER SERVICES	8024



10/06/04

D&amp;I      ocket No. MLY-2-DIV-CIP

D&amp;I

10-13-2004

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

Form PTO-1595

(Rev. 10/02)

OMB No. 0651-0027 (exp. 6/30/2005)

RECOR



Tab settings ⇌ ⇌ ⇌ ▼ ▼

102857739

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Nancy Y. Ip  
William M. W. Cheung

## 2. Name and address of receiving party(ies)

Name: The Hong Kong University of Science and Technology

Internal Address: \_\_\_\_\_

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Street Address: Technology Transfer CentreClear Water Bay, Kowloon, Hong Kong

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Execution Date: 09/24/2004Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s) 10/726,160 and  
10/409,511

B. Patent No.(s) \_\_\_\_\_

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: **DORITY & MANNING, P.A.**Internal Address: **P.O. BOX 1449****Greenville, SC 29602-1449**Street Address: One Liberty Square55 Beattie Place, Suite 1600City: Greenville State: SC Zip: 296016. Total number of applications and patents involved: 27. Total fee (37 CFR 3.41).....\$ 40.00

- ☒ Enclosed  
☒ Authorized to be charged to deposit account

## 8. Deposit account number:

04-140310/07/2004 GWDRDOF1 00000036 1072616002 FC:802140.00 DP

DO NOT USE THIS SPACE

## 9. Signature.

Tara E. Agnew

Name of Person Signing

Signature

10/04/2004

Date

Total number of pages including cover sheet, attachments, and documents: 3

Mail documents to be recorded with required cover sheet information to:

Mail Stop Assignment Recordation Services, Director of the U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450

ATTORNEY DOCKET NO: MLY-2-DIV-CIP**JOINT INVENTION ASSIGNMENT OF WORLDWIDE RIGHTS**

**WHEREAS**, we, Nancy Y. Ip, a citizen of China, residing at 7A Repulse Bay Towers, 1191A, Repulse Bay Road, Hong Kong; and William M. W. Cheung, a citizen of China, residing at Flat D3, 20/F, Block D, Sunshine City, Ma On Shan, Hong Kong, as assignors, have made an invention entitled "**DNA SEQUENCE ENCODING A RETINOIC ACID REGULATED PROTEIN**" as described in a patent application for U.S. Letters Patent, bearing U.S. Serial No. 10/726,160 which was filed in the U.S. Patent and Trademark Office on December 2, 2003; and

**WHEREAS**, The Hong Kong University of Science and Technology, Technology Transfer Centre, Clear Water Bay, Kowloon, Hong Kong, as assignee, is desirous of securing the entire right, title and interest in and to this invention in all countries throughout the world, and in and to the application for United States Letters Patent on this invention and the Letters Patent to be issued upon this application;

**NOW, THEREFORE**, be it known that for and in consideration of the sum of One Dollar (\$1.00) in hand paid and other good and valuable consideration the receipt of which from assignee is hereby acknowledged, we, as assignors, have sold, assigned, transferred, and set over, and do hereby sell, assign, transfer, and set over unto the assignee, its lawful successors and assigns, our entire right, title, and interest in and to this invention and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof, and all rights to claim priority on the basis of such applications, and all applications for Letters Patent which may hereafter be filed for this invention in any foreign country and all Letters Patent which may be granted on this invention in any foreign country, and all extensions, renewals, and reissues thereof, and we hereby authorize

and request the Commissioner for Patents of the United States and any official of any foreign country whose duty it is to issue patents on applications as described above, to issue all Letters Patent for this invention to assignee, its successors and assigns, in accordance with the terms of this Agreement.

**AND, WE HEREBY** covenant that we have the full right to convey the interest assigned by this Assignment, and we have not executed, and will not execute any agreement in conflict with this Assignment;

**AND, WE HEREBY** further covenant and agree that we will, without further consideration, communicate with assignee, its successors and assigns, any facts known to us respecting this invention, and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver any and all papers that may be necessary or desirable to perfect the title of this invention in said assignee, its successors and assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention in the United States and any foreign country, it being understood that any expense incident to the execution of such papers shall be borne by the assignee, its successors and assigns.

**IN TESTIMONY WHEREOF**, we have hereunto set our hands.

X Nancy Ip  
 Signature of First Inventor  
 Nancy Y. Ip  
 Date: X Sept 24, 2004

X William M. W. Cheung  
 Signature of Second Inventor  
 William M. W. Cheung  
 Date: X SEPTEMBER 21, 2004

Form PTO-1595

(Rev. 10/02)

OMB No. 0651-0027 (exp. 6/30/2005)

## RECORDATION FORM COVER SHEET

## PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

Tab settings ⇌ ⇌ ⇌ ▼ ▼ ▼ ▼ ▼ ▼ ▼

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Nancy Y. Ip  
William M. W. CheungAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: 09/24/2004

## 2. Name and address of receiving party(ies)

Name: The Hong Kong University of Science and Technology

Internal Address: \_\_\_\_\_

Street Address: Technology Transfer Centre

Clear Water Bay, Kowloon, Hong Kong

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s) 10/726,160 and  
10/409,511

B. Patent No.(s) \_\_\_\_\_

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: DORITY &amp; MANNING, P.A.

Internal Address: P.O. BOX 1449

Greenville, SC 29602-1449

Street Address: One Liberty Square

55 Beattie Place, Suite 1600

City: Greenville State: SC Zip: 29601

## 6. Total number of applications and patents involved: 2

7. Total fee (37 CFR 3.41).....\$ 40.00

☒ Enclosed☒ Authorized to be charged to deposit account

## 8. Deposit account number:

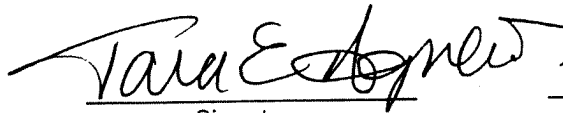
04-1403

DO NOT USE THIS SPACE

## 9. Signature.

Tara E. Agnew

Name of Person Signing



Signature

10/04/2004

Date

Total number of pages including cover sheet, attachments, and documents: 3

Mail documents to be recorded with required cover sheet information to:

Mail Stop Assignment Recordation Services, Director of the U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450